

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE  
(REV. 12-2004)

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

753-48 PCT/US

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/530165

INTERNATIONAL APPLICATION NO.  
PCT/CH2002/000670

INTERNATIONAL FILING DATE  
6 December 2002 (6.12.02)

PRIORITY DATE CLAIMED  
4 October 2002 (4.10.02)

TITLE OF INVENTION

SUBSTRATES FOR TAFIa

APPLICANT(S) FOR DO/EO/US

H. Ziegler, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☒ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV481315241US
23. ☒ Other items or information:

Itemized Postcard, Certificate of Mailing by Express Mail

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|   |              |  |            |  |              |  |      |         |       |  |            |  |  |
|---|--------------|--|------------|--|--------------|--|------|---------|-------|--|------------|--|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><div style="font-size: 2em; font-weight: bold; margin-top: 10px;">10/530165</div>  |              | INTERNATIONAL APPLICATION NO.<br><div style="font-weight: bold; margin-top: 10px;">PCT/CH2002/000670</div> |            | ATTORNEY'S DOCKET NUMBER<br><div style="font-weight: bold; margin-top: 10px;">753-48 PCT/US</div>  |              |  |      |         |       |  |            |  |  |
| 24. The following fees are submitted:<br><input checked="" type="checkbox"/> a) Basic national fee ..... \$300.00<br><input checked="" type="checkbox"/> b) Examination fee ..... \$200.00<br><input checked="" type="checkbox"/> c) Search fee ..... \$500.00<br><div style="text-align: right; margin-top: 10px;"><b>TOTAL OF ABOVE CALCULATIONS = \$1000.00</b></div>  |              |  |            | <div style="text-align: center; font-weight: bold;">Applicant use</div> <div style="text-align: center; font-weight: bold;">Office use</div>   |              |  |      |         |       |  |            |  |  |
|   |              |  |            | \$   | \$           |  |      |         |       |  |            |  |  |
|   |              |  |            | \$   | \$           |  |      |         |       |  |            |  |  |
|   |              |  |            | \$   | \$           |  |      |         |       |  |            |  |  |
|   |              |  |            | \$   | \$           |  |      |         |       |  |            |  |  |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.<br><table border="1" style="width:100%; border-collapse: collapse; margin-top: 5px;"> <tr> <td style="width:20%;">Total Sheets</td> <td style="width:20%;">Extra Sheets</td> <td style="width:40%;">Number of each additional 50 or fraction thereof (round up to a whole)</td> <td style="width:20%;">RATE</td> </tr> <tr> <td style="text-align: center;">- 100 =</td> <td style="text-align: center;">/50 =</td> <td></td> <td style="text-align: center;">x \$250.00</td> </tr> </table>                                       |              |  |            | Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | - 100 = | /50 = |  | x \$250.00 |  |  |
| Total Sheets  | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole)                                     | RATE       |  |              |  |      |         |       |  |            |  |  |
| - 100 =   | /50 =        |  | x \$250.00 |  |              |  |      |         |       |  |            |  |  |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |  |            | \$   |              |  |      |         |       |  |            |  |  |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA   | RATE       |  |              |  |      |         |       |  |            |  |  |
| Total claims  | 18 - 20 =    | 0  | x \$50.00  | \$   | \$0.00       |  |      |         |       |  |            |  |  |
| Independent claims  | 4 - 3 =      | 1  | x \$200.00 | \$   | \$200.00     |  |      |         |       |  |            |  |  |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00   |              |  |            | \$   | \$0.00       |  |      |         |       |  |            |  |  |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |  |            | \$   | \$1,200.00   |  |      |         |       |  |            |  |  |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |  |            | \$   | \$600.00     |  |      |         |       |  |            |  |  |
| <b>SUBTOTAL =</b>   |              |  |            | \$   | \$600.00     |  |      |         |       |  |            |  |  |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |  |            | \$   | \$0.00       |  |      |         |       |  |            |  |  |
| <b>TOTAL NATIONAL FEE =</b>   |              |  |            | \$   | \$600.00     |  |      |         |       |  |            |  |  |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +   |              |  |            | \$   | \$0.00       |  |      |         |       |  |            |  |  |
| <b>TOTAL FEES ENCLOSED =</b>  |              |  |            | \$   | \$600.00     |  |      |         |       |  |            |  |  |
| <b>Amount to be refunded:</b>   |              |  |            |  | \$           |  |      |         |       |  |            |  |  |
| <b>Amount to be charged:</b>  |              |  |            |  | \$           |  |      |         |       |  |            |  |  |
| a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>600.00</u> to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is _____<br>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-2461</u> . A duplicate copy of this sheet is enclosed.<br>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. <b>Credit card information should not be included on this form.</b> Provide credit card information and authorization on PTO-2038. |              |  |            |  |              |  |      |         |       |  |            |  |  |
| <b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.   |              |  |            |  |              |  |      |         |       |  |            |  |  |
| SEND ALL CORRESPONDENCE TO:<br><b>Daniel A. Scola, Jr.</b><br><b>Hoffmann &amp; Baron, LLP</b><br><b>6900 Jericho Turnpike</b><br><b>Syosset, NY 11791-3550</b><br><br><b>(973) 331-1700</b>  |              |  |            |  |              |  |      |         |       |  |            |  |  |
|   |              |  |            | <div style="font-family: cursive; font-size: 1.2em; margin-bottom: 5px;">Gloria K. Szakiel</div> <div style="text-align: center; font-weight: bold; margin-bottom: 5px;">SIGNATURE</div> <div style="text-align: center; font-weight: bold; margin-bottom: 5px;">Gloria K. Szakiel</div> <div style="text-align: center; font-weight: bold; margin-bottom: 5px;">NAME</div> <div style="text-align: center; font-weight: bold; margin-bottom: 5px;">45,149</div> <div style="text-align: center; font-weight: bold; margin-bottom: 5px;">REGISTRATION NUMBER</div> |              |  |      |         |       |  |            |  |  |

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Ziegler, et al.

Docket No.

10/530165  
5848 PCT/US

|                               |                         |                        |                       |                              |
|-------------------------------|-------------------------|------------------------|-----------------------|------------------------------|
| Application No.<br>Unassigned | Filing Date<br>Herewith | Examiner<br>Unassigned | Customer No.<br>23869 | Group Art Unit<br>Unassigned |
|-------------------------------|-------------------------|------------------------|-----------------------|------------------------------|

Invention: SUBSTRATES FOR TAFIa

I hereby certify that the following correspondence:

Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Submission Under 35 U.S.C. Section 371; Patent Application (Translation of WO 2004/031216A1); copy of WO 2004/031216A1; Translation of International Preliminary Examination Report; Preliminary Amendment; Itemized Postcard; Check

*(Identify type of correspondence)*

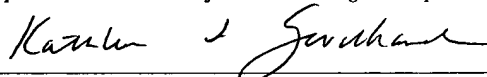
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on

April 4, 2005

*(Date)*

Kathleen J. Goodhand

*(Typed or Printed Name of Person Mailing Correspondence)*



*(Signature of Person Mailing Correspondence)*

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